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Total Pages (Including Cover)		4	
From		John C. Stellabotte	
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Message

Re: Applicant: Buist, Walter, et al.
 Filing Date: April 30, 2001
 Serial No. 09/845,224
 For: METHOD AND APPARATUS FOR AUCTIONING SECURITIES
 Our Reference No. 74577-078

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

FACSIMILE TRANSMISSION CERTIFICATE

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PTO/SB/81 (08-04)

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Application Number	09/848,224
Filing Date	April 30, 2001
First Named Inventor	Bulat, Walter, et al.
Title	METHOD AND APPARATUS FOR AUCTIONING SECURITIES
Art Unit	3828
Examiner Name	Richard C. Fultz
Attorney Docket Number	74577-078

I hereby appoint:

 Practitioners associated with the Customer Number:

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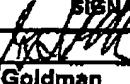
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I am the:

 Applicant/inventor. Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/88)

SIGNATURE of Applicant or Assignee of Record

Signature		Date	1/11/06
Name	Gregg I. Goldman	Telephone	203.719.3099
Title and Company	Director and Senior Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

 *Total of _____ forms are submitted.

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STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Walter Bulst et al.Application No./Patent No.: 09/845,224 Filed/Issue Date: April 30, 2001

Entitled: METHOD AND APPARATUS FOR AUCTIONING SECURITIES

UBS AG a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. the assignee of the entire right, title, and interest; or
2. an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %

In the patent application/patent identified above by virtue of either:

A. An assignment from the Inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. A chain of title from the Inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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Additional documents in the chain of title are listed on a supplemental sheet.

Copies of assignments or other documents in the chain of title are attached.

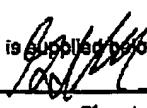
[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

1/11/06 

January 11, 2006

Date



Signature

Gregg J. Goldman

203.719.3089

Telephone Number

Printed or Typed Name
Director and Senior Counsel, Technology and
Intellectual Property, UBS AG, Stamford Branch

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Serial No. 09/845,224

Statement Under 37 CFR 3.73 (b)

B. Supplemental Sheet for additional documents in the chain of title.

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